

# Declaration For U.S. Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled  
(Insert Title) \_\_\_\_\_

the specification of which is attached hereto unless the following is checked:



was filed on June 30, 1999 as United States Application Number or PCT International  
Application Number PCT/JP99/03507 and was amended on \_\_\_\_\_  
(if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 (a) - (d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

(List prior foreign applications. See note A on back of this page)

	10-183133	Japan	30/06/98	Priority Claimed
(Number)	(Country)	(Day/Month/Year Filed)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No	
(Number)	(Country)	(Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No	

(See note B on back of this page)

☐ See attached list for additional prior foreign applications

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

(Application Number)	(Filing Date)
(Application Number)	(Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of the application:

(List Prior U.S. Applications)

(Application Serial Number)	(Filing Date)	(Status) (patented, pending, abandoned)
(Application Serial Number)	(Filing Date)	(Status) (patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

James E. Armstrong, III, Reg. No. 18,366; William F. Westerman, Reg. No. 29,988; Ken-Ichi Hattori, Reg. No. 32,861; Le-Nhung McLeland, Reg. No. 31,541; Ronald F. Naughton, Reg. No. 24,616; John R. Pegan, Reg. No. 18,069; William G. Kratz, Jr., Reg. No. 22,631; Albert Tockman, Reg. No. 19,722; Mel R. Quintos, Reg. No. 31,898; Donald W. Hanson, Reg. No. 27,133; Stephen G. Adrian, Reg. No. 32,878; William L. Brooks, Reg. No. 34,129; John F. Carney, Reg. No. 20,276; Edward F. Welsh, Reg. No. 22,455; Patrick D. Muir, Reg. No. 37,403; Gay A. Spahn, Reg. No. 34,978; and John P. Kong, Reg. No. 40,054.

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Please direct all communications to the following address: ARMSTRONG, WESTERMAN & PATTORI,  
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18 of the United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) FD Hiroshi YAMAZAKI  
(See note C above) Inventor's Signature [Signature] Date Jan 26, 2000  
Residence Same as post office address Citizenship Japan  
Post Office Address 16-4, Uguisudanicho, Shibuya-ku, TOKYO 150-0032 JAPAN SPX

Full name of second inventor (given name, family name) 20 Yoshiaki NAKANISHI Jan 27, 2000  
Inventor's Signature [Signature] Date Jan 26, 2000  
Residence Same as post office address Citizenship Japan  
Post Office Address GreenVillage-Higashifunabashi No. 202, 1-18-25, Nakanoki, Funabashi-shi, CHIBA 274-0826 JAPAN SPX

Full name of third inventor (given name, family name) Masaya USUHA  
Inventor's Signature [Signature] Date Jan 20, 2000  
Residence Same as post office address Citizenship Japan  
Post Office Address 5-1-28, Edanishi, Aoba-ku, Yokohama-shi, KANAGAWA 225-0014 JAPAN

Full name of fourth inventor (given name, family name) 3-0 Tsukasa YAMASHITA  
Inventor's Signature [Signature] Date Jan 20, 2000  
Residence Same as post office address Citizenship Japan  
Post Office Address 262-3-2-103, Morookacho, Kohoku-ku, Yokohama-shi, KANAGAWA 222-0002 JAPAN SPX

Full name of fifth inventor (given name, family name) 5-0 Hideyuki SUNAMI  
Inventor's Signature [Signature] Date Jan 20, 2000  
Residence Same as post office address Citizenship Japan  
Post Office Address 4-18-30, Shibaura, Minato-ku, TOKYO 108-0023 JAPAN SPX

Full name of sixth inventor (given name, family name) \_\_\_\_\_  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Full name of seventh inventor (given name, family name) \_\_\_\_\_  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

Full name of eighth inventor (given name, family name) \_\_\_\_\_  
Inventor's Signature \_\_\_\_\_ Date \_\_\_\_\_  
Residence \_\_\_\_\_ Citizenship \_\_\_\_\_  
Post Office Address \_\_\_\_\_

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# SMALL ENTITY DECLARATION

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APPLICANT OR PATENTEE

PCT/JP99/03507

SERIAL NO. ☐ PATENT NO. ☐ ATTORNEY DOCKET NO. 000104

1. ☒ FILED OR ISSUED June 30, 1999

2. ☐ SUBMITTED HEREWITH

FOR GENERAL FINANCIAL RISK MANAGEMENT APPARATUS  
AND FINANCIAL TRANSACTIONS MODELING APPARATUS

I (we) hereby declare that I (we) am (are) entitled to the benefit of small entity status with respect to the above-identified application or patent for purposes of paying reduced fees under 35 USC 41(a) & (b) to the U.S. Patent and Trademark Office.

☐ A. INDEPENDENT INVENTOR

I (we) qualify as (an) independent inventor(s) as defined in 37 CFR 1.9(c).

☐ B. INDIVIDUAL NON-INVENTOR

I would qualify as an independent inventor as defined in 37 CFR 1.9(c) if I had made the invention.

☒ C. SMALL BUSINESS CONCERN

I am ☒ THE OWNER ☐ AN OFFICIAL of the small business concern identified below and am empowered to act on behalf of the concern. The concern qualifies under 37 CFR 1.9(d) and 13 CFR 121.3-18. Rights under contract or law have been conveyed to and remain with the concern and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 CFR 1.9.

☐ D. NON-PROFIT ORGANIZATION

I am an official empowered to act on behalf of the non-profit organization identified below. The organization qualifies under 37 CFR 1.9(e), sub-section \*. Rights under contract or law have been conveyed to and remain with the organization and are exclusive unless a checkmark is placed here ☐. All other rights belong to small entities as defined in 37 CFR 1.9.

I (we) acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I (we) declare under penalty or perjury under the laws of the United States of America that the foregoing is true and correct.

A. INDEPENDENT INVENTOR(S) B. INDIVIDUAL NON-INVENTOR(S)

Name Signature Date

C. BUSINESS CONCERN D. NON-PROFIT ORGANIZATION

IQ FINANCIAL SYSTEMS(JAPAN), INC.

Name of Concern or Organization

1-4-1, Koishikawa, Bunkyo-ku, TOKYO 112-0002 JAPAN

Address

By Hideo TOMITA

Name of Person Signing

President

Title

Signature

Date

*Hideo Tomita*

Jan. 31, 2000

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